

# **Schedule 150-2-1**

## **HEALTH AND HUMAN SERVICES SYSTEM**

### **ADMINISTRATIVE SERVICES**

September 1, 2006

Nebraska Records Management Division  
440 South 8<sup>th</sup> Street, Suite 210  
Lincoln, NE 68508  
(402) 471-2559

**REQUEST FOR APPROVAL  
OF RECORDS RETENTION  
AND DISPOSITION SCHEDULE**

**TO: STATE RECORDS ADMINISTRATOR  
STATE OF NEBRASKA**

SCHEDULE

**150-2-1**

AGENCY, BOARD OR COMMISSION

**Health and Human Services System**

DIVISION, BUREAU OR OTHER UNIT

**Administrative Services**

**Supersedes 35-3-4 & 5; 35-3-11 and 35-3-15  
edition of March 26, 1992**

**PART I -- AGENCY STATEMENT**

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE

TITLE

*Robert L. Lee*  
*Deputy Director*

DATE

*8-24-06*

**PART II - ARCHIVAL APPROVAL**

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE

STATE ARCHIVES

DATE

*8/31/06*

**PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR**

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE

STATE RECORDS ADMINISTRATOR

DATE

*Sept 1, 2006*

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

### **DISPOSING OF RECORDS**

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

**Please remember to retain the blank form for future use.**

### **NON-SCHEDULED RECORDS**

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

### **SCHEDULE UPDATE**

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

### **QUESTIONS**

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division  
440 South 8th Street, Suite 210  
Lincoln, NE 68508-2294  
402-471-2559**

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## **SCHEDULE 150-2-1 Health and Human Services System Administrative Services**

### **150-2-1-1 GENERAL RECORDS**

#### **150-2-1-1-1 ADMINISTRATIVE CORRESPONDENCE**

May include agendas, mailings, newsletters, brochures, etc. Minutes of meetings of Administrative Services: staff meetings, division operations, special projects, etc.

**Dispose of after 3 years.**

#### **150-2-1-1-2 LEGISLATIVE DOCUMENTS**

May include draft legislation, records from public input meetings, proposals, session and specific bill summaries, legislative resolution information, implementation plans, and related correspondence.

**Dispose of after 3 years.**

#### **150-2-1-1-3 EXPENSE REIMBURSEMENT**

Reimbursement of expenses for staff, State Board of Health members, Nebraska Credentialing Reform 2000 members, Credentialing Review (407) Program, Prison Task Force members, Sex Offender Task Force members, etc.

**Dispose of after 2 fiscal years after member has completed serving, provided audit has been completed.<sup>1</sup>**

#### **150-2-1-1-4 EMPLOYEE HISTORY FILES**

Personnel files maintained on current and past employees.

**Dispose of after employee is no longer employed and forward to Human Resources.**

#### **150-2-1-1-5 MISCELLANEOUS EXPENDITURES**

Documents related to the purchase of special equipment and supplies, subscriptions, registration fees, membership dues, etc.

**Dispose of after 5 fiscal years, provided audit has been completed.<sup>1</sup>**

#### **150-2-1-1-6 BUDGET**

Monthly/quarterly/annual budget reports by program and area, budget projections, PSL authorizations, related correspondence, etc.

**Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

### **150-2-1-2 BOARD OF HEALTH**

#### **150-2-1-2-1 RETREATS**

Minutes, agendas and official public record copy.

**Dispose of after 10 years.**

#### **150-2-1-2-2 CORRESPONDENCE**

May include letters to and from senators, Board members, HHS staff, and the public.

**Dispose of after 10 years.**



**150-2-1-2-3                    LEGISLATIVE DOCUMENTS**

May include draft legislation, proposals, session bill summaries, legislative resolution information, implementation plans, and related correspondence.

**Dispose of after 10 years.**

**150-2-1-2-4                    STRATEGIC PLANNING**

Information from planning sessions and documents related to actual plans and implementation.

**Dispose of after 10 years.**

**150-2-1-2-5                    EXPENSE/BUDGETS**

Reimbursement of expenses for board members, per diem reports, meeting expenses, food/beverage expenses, publication of meeting notice expense, miscellaneous expenditures, etc.

**Dispose of after 2 fiscal years, provided audit has been completed.<sup>1</sup>**

**150-2-1-2-6                    PUBLIC HEALTH RECOGNITION**

Applications for recognition of programs, awards, press releases.

**Dispose of after 3 years.**

**150-2-1-2-7                    BOARD OF HEALTH MEETING FILES**

File containing supporting materials relevant to past Board of Health meetings. Records include agendas, minutes, rules and regulations, public hearing proceedings and various documentation.

**ORIGINAL RECORD: Microfilm for security annually; transfer to the State Archives after no longer of reference value. This record may NOT be destroyed after microfilming.**

**OTHER COPIES: Dispose of after no longer of reference value.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

**150-2-1-2-8                    BOARD OF HEALTH MEMBERSHIP LIST**

Directory of State Board of Health members, committee and council liaison representatives. Also included are the dates, term of office, and addresses.

**Transfer to the State Archives after 10 years; retain permanently.**

**150-2-1-2-9                    SCHEDULE OF HEARINGS LOGBOOK**

Record of pertinent information relative to the public hearing notice process. Data includes to whom notice of hearing was sent, whether receipt was returned, publication date, court reporter contacted, newspaper in which notice appeared in, cost of ad, etc.

**Dispose of 5 years after last entry, provided audit has been completed.<sup>1</sup>**

**150-2-1-3                    FACILITY WORK TEAMS: RATIONALE, OVERLAP  
AND DUPLICATION, COST EFFECTIVENESS,  
ACCOUNTABILITY, AND ADAPTIVENESS, AND THE  
FOCUS GROUP**

**150-2-1-3-1                MINUTES, AGENDAS AND MAILINGS**

May include minutes, presentation packets, reference materials for agenda items.

**ORIGINAL RECORD:** Microfilm for security annually; transfer to the State Archives after no longer of reference value. This record may NOT be destroyed after microfilming.

**OTHER COPIES:** Dispose of after no longer of reference value.

**SECURITY MICROFILM:** Transfer to the State Archives; retain permanently.

**MICROFILM WORK COPY:** Retain permanently.

**150-2-1-3-2                CORRESPONDENCE/ REPORTS**

May include letters to and from health care facility staff, associations, senators, NCR2000 Steering Committee members, work team members, HHS staff, and the public, and the final reports for each work team.

**Dispose of after 8 years, subject to review by the State Archivist for possible accession.**

**150-2-1-3-3                RESOURCE MATERIALS**

May include a variety of resource documents obtained from other states, professional journals and reports, etc.

**Dispose of after 10 years.**

**150-2-1-4                    NEBRASKA CREDENTIALING REFORM 2000**

**150-2-1-4-1                STEERING COMMITTEE PUBLIC FORUMS**

Information and resource packets, rosters, public testimony, minutes for public input forums. Also includes professional association input and proposal meetings.

**Dispose of after 10 years, subject to review by the State Archivist for possible accession.**

**150-2-1-4-2                STEERING COMMITTEE MEETINGS**

May include minutes, agendas, proof of publication of meeting notice, reference materials for agenda items.

**Dispose of after 10 years after completion of NCR project (2007).**

**150-2-1-4-3                STEERING COMMITTEE CORRESPONDENCE / REPORTS**

May include letters to and from health care facilities and professionals, associations, senators, NCR2000 Steering Committee members, work team members, HHS staff, and the public, and the final reports for each work team.

**Dispose of after 10 years.**

**150-2-1-4-4                STEERING COMMITTEE LEGISLATIVE DOCUMENTS**

May include draft legislation, proposals, LB 819 final bill, public forums and hearing input, implementation plans, and related correspondence.

**Dispose of after 10 years.**

**150-2-1-4-5                    STEERING COMMITTEE EXPENSES / BUDGET**

Reimbursement of expenses for board members, meeting expenses, working meals, publication of meeting notice expense, miscellaneous expenditures, etc.

**Dispose of after 2 fiscal years, provided audit has been completed.<sup>1</sup>**

**150-2-1-5                    PROFESSIONAL WORK TEAMS: DISCIPLINE AND ENFORCEMENT, FUNDING AND FEES, PROCESS RE-ENGINEERING, TELEPRACTICE, MOBILITY AND MANAGED CARE, CONTINUING COMPETENCIES, SYSTEMS OUTCOMES, EVALUATION OF CREDENTIALING SYSTEM, TEMPORARY LICENSURE, FOCUS GROUP**

**150-2-1-5-1                    MINUTES, AGENDAS AND MAILINGS**

May include minutes, agendas, presentation packets, reference materials for agenda items.

**ORIGINAL RECORD:** Microfilm for security annually; transfer to the State Archives after no longer of reference value. This record may NOT be destroyed after microfilming.

**OTHER COPIES:** Dispose of after no longer of reference value.

**SECURITY MICROFILM:** Transfer to the State Archives; retain permanently.

**MICROFILM WORK COPY:** Retain permanently.

**150-2-1-5-2                    CORRESPONDENCE/REPORTS**

May include letters to and from health care facility staff, professional associations, senators, NCR2000 Steering Committee members, work team members, HHS staff, and the public, and the final reports for each work team.

**Dispose of after 8 years, subject to review by the State Archivist for possible accession.**

**150-2-1-5-3                    RESOURCE MATERIALS**

May include a variety of resource documents obtained from other states, professional journals and reports, etc.

**Dispose of after 10 years.**

**150-2-1-6                    CREDENTIALING REVIEW (FORMERLY KNOWN AS 407)**

**150-2-1-6-1                    RESOURCE MATERIALS**

May include a variety of resource documents obtained from other states, professional journals and reports, etc.

**Dispose of after 10 years.**

## **150-2-1-7 CREDENTIALING REVIEW BY PROGRAMS**

Transcripts, formal application for review, correspondence, lists of parties and members of committees, minutes of meetings, solicitation forms pertinent to specific reviews. ***Final reports and pertinent reference material listed below:***

### **150-2-1-7-1 1985 CREDENTIALING REVIEW BY PROGRAMS**

Dental Hygienists, Optometrists, Chiropractors, Dentists, Respiratory Care Providers, Athletic Trainers, Dental Assistants, Ophthalmic Dispensers, Social Workers, Professional Counselors, Dieticians and Nutritionists.

### **150-2-1-7-2 1986 CREDENTIALING REVIEW BY PROGRAMS**

Radiological Group, Medical Technology, Dieticians/Nutritionists, Naturopathic Physicians

### **150-2-1-7-3 1987 CREDENTIALING REVIEW BY PROGRAMS**

Massage Therapy, Care Staff Members, Home Health Aides, Marriage & Family Therapists

### **150-2-1-7-4 1988 CREDENTIALING REVIEW BY PROGRAMS**

Recreational Therapy, Chiropractic Physicians, Naturopathic Physicians, Alcohol & Drug Abuse Counselors, Marriage & Family Therapists

### **150-2-1-7-5 1989 & 1990 CREDENTIALING REVIEW BY PROGRAMS**

Certified Registered Nurse Anesthetists, Optometry, Special Care, First Responders, Rural EMS Task Force.

### **150-2-1-7-6 1991 & 1992 CREDENTIALING REVIEW BY PROGRAM**

LPN Special Endorsements, Phlebotomy, Mental Health Task Force

### **150-2-1-7-7 1993 & 1994 CREDENTIALING REVIEW BY PROGRAM**

Public Health Clinic Pharmacy Task Force, Dieticians and Nutritionists, Nurse Practitioners, Medical Nutrition Therapists

### **150-2-1-7-8 1995 & 1996 CREDENTIALING REVIEW BY PROGRAM**

Athletic Trainers, Dialysis Technology.

### **150-2-1-7-9 1998 & 1999 CREDENTIALING REVIEW BY PROGRAMS**

Athletic Trainers, Oriental Medicine, Podiatry, Chelation Therapy.

### **150-2-1-7-10 2001 CREDENTIALING REVIEW BY PROGRAMS**

EMS Board (PARAMEDICS).

### **150-2-1-7-11 2002 NEBRASKA OCCUPATIONAL THERAPY ASSOCIATION**

Nebraska Occupational Therapy Association.

### **150-2-1-8-12 2003 CERTIFIED REVIEW BY PROGRAMS**

Certified Alcohol and Drug Abuse Counselors.

### **150-2-1-7-13 2005 CREDENTIALING REVIEW BY PROGRAMS**

407 Coalition (LICENSED MENTAL HEALTH PRACTITIONERS), Nebraska Dental Hygienists Association, Nebraska Pharmacy Association (PHARMACY TECHNICIANS).

### **150-2-1-7-14 2006 CREDENTIALING REVIEW BY PROGRAMS**

Midwifery and Home Birth (Heather Swanson, CNM).

**ORIGINAL RECORD (Except for minutes of meetings):** Dispose of after 3 years or when no longer of reference value.

**MINUTES OF MEETINGS:** Microfilm for security annually; transfer to the State Archives after no longer of reference value. This record may NOT be destroyed after microfilming.

**SECURITY MICROFILM:** Transfer to the State Archives; retain permanently.

**MICROFILM WORK COPY:** Retain permanently.

**150-2-1-8            BUDGET**

**150-2-1-8-1            CORRESPONDENCE / REPORTS / RESOURCE MATERIALS**

Documents related to budget requests, purchase of special equipment and supplies, spending status reports, and related fiscal documents.

**Dispose of after 3 fiscal years, provided audit has been completed.<sup>1</sup>**

**150-2-1-8-2            BUDGETS FOR PROGRAMS**

Division and department budget awards and related materials.

**Dispose of after 3 fiscal years, provided audit has been completed.<sup>1</sup>**

**150-2-1-8-3            AREA OFFICES**

Budget awards, requests, status reports, and related fiscal documents from HHS offices in Omaha, Kearney, Norfolk, North Platte, and Scottsbluff.

**Dispose of after 3 fiscal years, provided audit has been completed.<sup>1</sup>**

**150-2-1-8-4            DISBURSEMENT DOCUMENTS**

Documents related to the purchase of special equipment, supplies, and capital expenditures.

**Dispose of after 3 fiscal years, provided audit has been completed.<sup>1</sup>**

**150-2-1-9            PRISON TASK FORCE**

**150-2-1-9-1            MEETING**

May include minutes, agendas, presentation packets, reference materials for agenda items.

**ORIGINAL RECORD: Microfilm for security annually; transfer to the State Archives after no longer of reference value. This record may NOT be destroyed after microfilming.**

**OTHER COPIES: Dispose of after no longer of reference value.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

**150-2-1-9-2            CORRESPONDENCE / REPORTS**

May include correspondence and other documents to and from Committee members, agency representatives, the Governor's office, and interested members of the public. Also includes transcripts from public forums, written testimonies from inmates, any legislative proposals, and the final report to the Governor.

**Dispose of after 8 years, subject to review by the State Archivist for possible accession.**

**150-2-1-10            SPACE PLANNING (OBSOLETE 2000)**

**150-2-1-10-1            CORRESPONDENCE (OBSOLETE 2000)**

Correspondence and documents related to the allocation of space for all HHSS offices across the state. This includes resource materials and statements of expense.

**Immediately dispose of obsolete record.**

**150-2-1-10-2      ARCHITECTURAL DRAWINGS (OBSOLETE 2000)**

Plans related to office space usage and allocation, including common areas.

**Immediately dispose of obsolete record.**

**150-2-1-11      DISCIPLINARY ACTION AND APPEALS—CASES FOR  
DISCIPLINE AND CASES APPEALED ARE INCLUSIVE  
FOR EACH ACTION**

**150-2-1-11-1      HEARING SCHEDULES**

Hearing schedules for disciplinary cases for health care professionals.

**Dispose of after 2 years.**

**150-2-1-11-2      ADMINISTRATIVE LAW JUDGES CONTRACTS**

Contracts for the ALJ, court reporters, and other related services.

**ACCEPTED: Dispose of 7 years after completion, fulfillment, or voiding of contract, subject to review by the State Archivist before disposal and provided audit has been completed.<sup>1</sup>**

**REJECTED: Dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**150-2-1-11-3      FINAL ORDERS (BOOKS)**

Final disposition of cases and orders, official transcripts, exhibits, and related hearing materials.

**Dispose of after 2 years.**

**150-2-1-12      SEX OFFENDERS TASK FORCE**

**150-2-1-12-1      CORRESPONDENCE / REPORTS**

May include correspondence and other documents to and from Committee members, agency representatives, the Governor's office, and interested members of the public. Also includes transcripts from public forums, written testimonies from inmates, any legislative proposals, and the final report to the Governor.

**Dispose of after 8 years, subject to review by the State Archivist for possible accession.**

**150-2-1-13      QUALITY MANAGEMENT PLAN FOR REGULATION &  
LICENSURE**

**150-2-1-13-1      DIVISION PLANS AND REPORTS**

Reports and plans of action for Regulation and Licensure divisions: Administrative Services, Credentialing, Investigations, Public Health Assurance, and Regulatory Analysis and Integration Divisions.

**Dispose of after 5 years.**

**150-2-1-14            HUMAN GENETICS TECHNOLOGY COMMISSION**  
**(OBSOLETE 2000)**

**150-2-1-14-1            REPORTS, RESOURCE MATERIALS, AND LEGISLATIVE**  
**DOCUMENTS    (OBSOLETE 2000)**

Final report to the Governor, committee reports and data, and any related legislative materials.  
**Dispose of after 10 years, subject to review by the State Archivist for possible accession.**

**150-2-1-15            HEARING AID GROUP (OBSOLETE 2000)**

**150-2-1-15-1            CORRESPONDENCE / REPORTS (OBSOLETE 2000)**

May include correspondence and other documents to and from Committee members, agency representatives, the Governor's office, and interested members of the public. Also includes transcripts from public forums, written testimonies from inmates, any legislative proposals, and the final report to the Governor.

**Dispose of after 8 years, subject to review by the State Archivist for possible accession.**

**150-2-1-16            UNIFORM LICENSURE LAW REWRITE**

**150-2-1-16-1            COMMUNICATION / CORRESPONDENCE**

May include minutes, agendas, reference materials, information and resource notebook, rosters, public testimony, final report, and any associated legislative documents.

**Dispose of after 8 years, subject to review by the State Archivist for possible accession.**

**150-2-1-17            PERIODIC REVIEW AND EVALUATION PROGRAM**  
**(PREP)**

**150-2-1-17-1            COMMUNICATION / CORRESPONDENCE**

May include minutes, agendas, reference materials, information and resource notebook, rosters, public testimony, final report, and any associated legislative documents. (Physical Therapy, Funeral Director, Ballmer's, Respite Care)

**Dispose of after 8 years, subject to review by the State Archivist for possible accession.**

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**NOTE**

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1. *These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.*

## RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8 <sup>TH</sup> STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

### REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

### OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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**SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.**

RMA 03006D



## **VOLUME ESTIMATING GUIDE**

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size .....	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size .....	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet